



**Young Men's  
Initiative**

**Center for  
Economic  
Opportunity**

**Department of  
Probation**

## **AIM (Advocate, Intervene, Mentor) Program REQUEST FOR PROPOSALS (RFP)**

**PIN 78112P0001**

**RFP RELEASE DATE:** March 23, 2012

**DEADLINE FOR PROPOSALS:** **2:00 PM, Wednesday, April 25, 2012**

**RETURN TO:** New York City Department of Probation  
33 Beaver Street, 21<sup>st</sup> Floor  
New York, New York 10004

**ATTENTION:** Vincent Perneti  
Agency Chief Contracting Officer

**PRE-PROPOSAL CONFERENCE:** Session 1: Wednesday, April 4, 2012  
at 9:30 AM  
OR  
Session 2: Thursday, April 5, 2012  
At 10:30 AM

33 Beaver Street, 18th Floor  
(between Broadway and Broad Street)  
New York, New York 10004

This Request for Proposals (RFP) must be obtained directly from the New York City Department of Probation (DOP) or the Center for Economic Opportunity (CEO) in person or by downloading it from DOP's website, [www.nyc.gov/probation](http://www.nyc.gov/probation), or CEO's website, [www.nyc.gov/ceo](http://www.nyc.gov/ceo). If you obtained a copy of this RFP from any other source, you are not registered as a potential proposer and will not receive addenda DOP/CEO may issue after release of this RFP, which may affect the requirements or terms of the RFP.



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**REQUEST FOR PROPOSALS (RFP)**  
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## **AUTHORIZED AGENCY CONTACT PERSONS**

The authorized agency contact persons for all matters concerning this Request for Proposals (RFP) are:

### **Procurement**

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New York City Department of Probation  
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### **RFP Procedures**

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**NOTE ON E-MAIL INQUIRIES: Proposers should enter “AIM Program RFP” in the subject line of the e-mail.** DOP/CEO cannot guarantee a timely response to written questions regarding this RFP received less than one week prior to the RFP due date.

Proposers should note that any written response that may constitute a change to the RFP will not be binding unless DOP/CEO subsequently issues such a change as a written addendum to the RFP.

**SECTION I - TIMETABLE**

**A. Release Date of the Request for Proposals: March 23, 2012**

**B. Pre-Proposal Conference:**

**Session 1: April 4, 2012 at 9:30 AM**

**Session 2: April 5, 2012 at 10:30 AM**

**Location: New York City Department of Probation  
33 Beaver Street, 18th Floor Auditorium  
New York, New York 10004**

Attendance by proposers is optional but recommended by DOP/CEO. If you will attend the Pre-Proposal Conference, DOP/CEO requests that you RSVP in advance. Please send an e-mail to Vincent Perneti ([acco@probation.nyc.gov](mailto:acco@probation.nyc.gov)) with the name of your organization, the number of people in attendance, and the session you plan to attend.

Due to limited seating, DOP/CEO requests that each organization send no more than two representatives to the Pre-Proposal Conference.

**C. Proposal Due Date and Time and Location:**

**Date: April 25, 2012  
Time: 2:00 PM  
Location: Hand deliver proposals to:**

**Attention: Vincent Perneti  
Agency Chief Contracting Officer  
New York City Department of Probation  
33 Beaver Street, 21<sup>st</sup> Floor  
New York, New York 10004**

DOP/CEO will not accept e-mailed or faxed proposals.

Proposals received at this location after the proposal due date and time are late and shall not be accepted, except as provided under New York City's Procurement Policy Board Rules, Section 3-03(f)(5).

In accordance with Section 3-03(f)(5), DOP/CEO will consider requests made to the Agency Chief Contracting Officer to extend the Proposal Due Date and Time prescribed above. However, unless DOP/CEO issues a written addendum to this RFP to extend the proposal due date and time for all proposers, the proposal due date and time prescribed above shall remain in effect.

**D. Anticipated Contract Start Date: July 1, 2012**

## **SECTION II - SUMMARY OF THE REQUEST FOR PROPOSALS**

### **A. Purpose of the RFP**

The New York City Department of Probation (DOP), in collaboration with the Center for Economic Opportunity (CEO), is seeking three to six qualified vendors to provide intensive mentoring and advocacy programming for high risk youth facing the highest probability of out-of-home-placement, as a result of Family Court delinquency adjudication. The ultimate goal of AIM is to help build stronger and safer communities, reduce crime and recidivism, and promote lifelong gains for youth involved in the juvenile justice system in New York City.

AIM is designed to enable participants to address age-specific needs and issues, become knowledgeable about opportunities and resources that can assist them, and develop positive bonds within their community that would lead to a law-abiding and productive adulthood. AIM seeks to provide participants with the structure and guidance needed for success by creating highly individualized plans, and wraparound services for youth and their families. Advocate/mentors will provide intensive one-on-one mentoring to participating adolescents and their families to foster alternative behaviors more conducive to personal and social success, as well as build and strengthen social bonds among clients, families and the communities in which they live.

### **B. Background**

For highly disengaged young people who are also currently involved in harmful/risky behaviors, interventions far more intensive than traditional youth programs, including traditional mentoring models, are needed to achieve significant results. These young people are often involved in high-risk street activity within their communities and involved in the juvenile justice system. Without appropriate interventions, youth in this high-risk population are likely to become deeply involved in juvenile and/or criminal justice systems. In addition to community safety concerns, they are among the most expensive population to serve in terms of policing, incarceration, hospitalization and social services. Enabling them to right their life trajectory will have collateral and positive effects on their communities, families and peers, in addition to saving taxpayer dollars.

Delinquent behavior and repeat arrests are not only harmful to communities but serve as obvious obstacles for high-risk youth in becoming thriving adults. Forty-five percent of all out-of-home-placements of juvenile delinquents are the result of violations of conditions of probation, and a recommendation for placement by DOP is more highly correlated with court-ordered residential placement than any other factor. A study funded by the National Institute of Justice found that 63% of young people sent to Office of Children and Family Services facilities are rearrested within two years of their release, with 43% of those arrests involving felony charges.<sup>1</sup> Other

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<sup>1</sup> Susan Mitchell-Herzfeld, Vajeera Dorabawila, Leigh Bates, and Rebecca Colman, "Juvenile Recidivism Study: Patterns and Predictors of Re-Offending Among Youth Reentering the Community From OCFS Facilities and Voluntary Agencies," PowerPoint presentation. At the New York State Division of Criminal Justice Services, April 27, 2010.

barriers, such as educational deficits, hinder their progress as well. For example, nearly 60% of adolescents age 16-18 in New York City jails read below a fifth grade level and two thirds of them will not return to school after their release.<sup>2</sup>

Several approaches have proven effective in serving young people at the highest risk of institutional placement in the justice system. The Coalition for Juvenile Justice recently released a comprehensive review of the literature and research surrounding Positive Youth Development (PYD) and its application in juvenile justice systems.<sup>3</sup> As the report outlines, rigorous research has led to an evidence-based argument for the efficacy of interventions grounded in youth development principles for high-risk juvenile justice-involved youth that include elements such as: intensive (beyond recreation-focused) mentoring, strengthening relationships between youth and their families/educational institutions, and participation in structured extracurricular activities. Research also demonstrates that high-risk juvenile justice involved youth who have been most resistant to change and unresponsive to the traditional range of services offered specifically to them are more tolerant of services offered within the structure of their existing family support system.<sup>4</sup> Effective interventions must include sustained relationships that support young people in believing that education, employment, and civic responsibility are valid life pursuits with positive system outcomes. Working with the youth's family support system provides expanded opportunities for interactions with the youth that would not be possible in a more traditional mentor-mentee pairing approach.

DOP is seeking ways of applying and adapting these approaches to serve a population of youth who are placement bound but could be better rehabilitated in community settings through rigorous programming. AIM will serve high-risk youth in the South Bronx, East New York/Brownsville and Jamaica neighborhoods, specifically those who are: 1) given an alternative to placement disposition in Family Court as a result of a delinquency adjudication; 2) facing a violation of probation for chronic lack of responsiveness to previous intervention and engagement strategies; or 3) re-arrested for a Class I or Class II felony offense (any service level) as per the structured decision making grid (SDM).<sup>5</sup> These targeted neighborhoods for the AIM were chosen based on the concentration of juvenile clients in each.

### **DOP Neighborhood Opportunity Networks (NeONs)**

As part of the DOP Strategic Plan 2012 to address crime and incarceration, DOP is implementing evidence-based, cost-effective policies and practices and putting resources in the communities most heavily involved with criminal/juvenile justice systems. To this end, DOP is developing

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<sup>2</sup> Vera Institute of Justice, Just 'Cause, Vol. 15, No. 3, fall (2008). Public Private Ventures. (2000). *Getting Back to Work: Employment Programs for Ex-Offenders* Philadelphia, PA: Buck, Maria.

<sup>3</sup> The Coalition for Juvenile Justice (2010). *Positive Youth Justice: Framing Justice Interventions Using the Concepts of Positive Youth Development*. Washington D.C.: Butts, Jeffrey A., Gordon Bazemore, & Aundra Saa Meroe

<sup>4</sup> DOP recognizes that many of the participants' biological families may have become fragmented. Therefore, for the purposes of this RFP, a family support system is defined as the group of adults (not including the advocate/mentor) who care for the young person as family. The group does not have to be related by blood but must be available to the young person long term.

<sup>5</sup> The SDM is the tool by which DOP will make dispositional recommendations to the court.

Neighborhood Opportunity Networks (NeONs)<sup>6</sup> in neighborhoods where large numbers of people on probation live<sup>7</sup>.

DOP staff will begin to co-locate with neighborhood-based organizations in each NeON community and join or work to develop effective networks of community organizations, government agencies, local businesses and residents in order to expand clients' access to the kinds of quality opportunities, resources, and services that build their strengths and reduce their involvement with the criminal justice system.<sup>8</sup> NeONs represent a fundamental shift in how DOP engages with probation clients and the community. As Mayor Bloomberg said when he announced NeONs as a component of the Young Men's Initiative (YMI)<sup>9</sup>, "Probation will transform itself into an agency designed to hold people accountable while connecting them to employment and educational opportunities."

In conjunction with the NeONs and the YMI, DOP is partnering with City agencies, community-based organizations and foundations on a number of innovative projects, including the AIM program. While each program takes a different approach, the overarching public safety goal is to help probation clients end any further involvement with the criminal or juvenile justice systems by strengthening their attachment to education, work and community. All of these programs share certain fundamental principles that also align with DOP's strategic plan:

- **Enhancement of public safety.** Research has proven that connecting young people in the criminal/juvenile justice system to programs that help them continue their education, get a job and engage with their communities are a more effective and less expensive option to incarceration.
- **Education** is key to helping young people overcome the root issues that led to their involvement in the criminal/juvenile justice system.
- When young people are engaged in the **workforce**, they are far less likely to become involved in delinquent activity.
- When young people in the criminal/juvenile justice system feel **connected to their home community and family systems**, they are less likely to harm their neighbors.
- Programs must build on clients' strengths, not merely try to minimize their weaknesses. Adolescent clients must be given the opportunity to develop the **competencies needed to become successful adults**.
- New York City is home to a **network of community-based organizations of unmatched quality** and breadth. DOP will engage these organizations as partners in our effort to help these young people realize their potential.

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<sup>6</sup> For more information on the NeONs, please visit <http://www.nyc.gov/html/prob/html/neon/neon.shtml>

<sup>7</sup> The first five NeONs are being launched in Brownsville, East New York, Harlem, Jamaica and the South Bronx

<sup>8</sup> NeONs can be conceived as a spider web of resources within one neighborhood, or a bicycle wheel with spokes, rather than a single building with services.

<sup>9</sup> On August 4, 2011, Mayor Bloomberg announced the launch of the Young Men's Initiative, designed to help young men of color achieve their professional, educational and personal goals. Of the 27,000 people on probation citywide, approximately 1,982 are juveniles ages 13-18. Of these 1,982, 76% are male; 60% are Black and 31% are Latino.

Probation clients in NeON communities will be offered mentoring, afterschool activities, education, literacy and job skills enhancement and opportunities to join local neighborhood improvement initiatives. DOP will work closely with community leaders to ensure that NeONs achieve local support, build on existing assets, and reflect client and neighborhood needs.

With this in mind, DOP and CEO propose the AIM Program to assist young people who risk further involvement in the criminal/juvenile justice system in laying the groundwork for a positive future.

### **C. Service Options**

Service Options are as follows:

- **Service Option 1: East New York/Brownsville (CD 5, 16)**
- **Service Option 2: South Bronx (CD 1, 2, 3)**
- **Service Option 3: Jamaica (CD 12)**

Proposers may choose to submit a proposal under more than one service option (see Table 1 on page 9), but must submit a separate and complete proposal for each service option chosen. Proposers may indicate more than one site location within a proposal, but all sites proposed must be located in at least one of the targeted Community Districts (CDs) within the service option selected.

### **D. Anticipated Available Annual Funding**

The anticipated available annual funding for the contracts awarded under this RFP will be \$1.885 million to be divided among the three service options. The maximum price per participant for the AIM Program is \$18,850. In each service option, the funding level per contract will depend on the number of youth on probation served. DOP anticipates that the minimum annual contract amount will be \$301,600, to serve a minimum of 16 participants.

### **E. Anticipated Contract Term and Number of Contracts**

It is anticipated that the term of the contracts awarded from this RFP will be for three years from July 1, 2012 through June 30, 2015, with an option to renew for three additional one-year periods.

The anticipated number of contracts awarded under the AIM Program RFP will be three to six. It is anticipated that up to two contracts would be awarded in each service option.

### **F. Anticipated Payment Structure**



It is anticipated that the payment structure of contracts awarded under this RFP will be based on line-item budget reimbursement.

**G. Service Levels/Geographic Areas to be Served**

Proposers are required to serve adolescents, between the ages of 13 and 18, on juvenile probation or who are facing institutional placement as a result of a Family Court disposition (sentence) that reside in or adjacent to any of the following Community Districts. Adolescent residents of the following areas are considered to have a high level of need for services.

<b>TABLE 1</b>		
<b>Service Option</b>	<b>Targeted CD/Neighborhood</b>	<b>Anticipated # of Slots</b>
<b>1: East New York/Brownsville</b>	CD 5 (East New York) CD 16 (Brownsville)	<b>32</b>
<b>2: South Bronx</b>	CD 1 (Mott Haven/Melrose) CD 2 (Hunt’s Point/Longwood) CD 3 (Morrisania/Crotona)	<b>36</b>
<b>3: Jamaica</b>	CD 12 (South Jamaica)	<b>32</b>

The proposer must specify the service option selected and the community district(s) that the proposed site(s) will be located in. All sites must be located within one of the targeted neighborhoods for the service option selected.

AIM will serve approximately 100 youth participants per year: It is anticipated that 32 slots will be available in East New York/Brownsville Brooklyn, 36 slots will be available in the South Bronx, and 32 slots will be available in Jamaica, Queens, subject to change based on current concentration of probationers at the time of contract award<sup>10</sup>. It is anticipated that 3 to 6 community-based service providers will be responsible for implementing AIM.

**H. Subcontracting/Consultants**

Subcontracting is permissible under the following conditions:

- The proposer is encouraged to identify any proposed subcontractor in the proposal.
- Agency assumptions regarding provider approach as set out in the Scope of Services and other sections of this RFP apply equally to any proposed subcontractor.
- All contractors and subcontracts shall be subject to DOP/CEO approval before expenses are incurred and payments made.
- No more than 40 percent of the total value of the contract may be subcontracted.

**I. Regulatory Requirements**

<sup>10</sup> Participants may reside in or adjacent to the targeted neighborhood,

***Nondiscrimination:*** The contractor shall provide services to all persons regardless of actual or perceived race, color, creed, national origin, alien or citizenship status, gender (including gender identity), sexual orientation, disability, marital status, arrest or conviction record, status as a victim of domestic violence, lawful occupation, and family status.

***Americans with Disabilities Act (ADA):*** Program Facilities should be easily accessible to people with disabilities and should meet all requirements of the ADA. If not, DOP/CEO-approved alternative measures, such as access to other suitable space, should be used to make activities accessible to persons with disabilities.

***Ban the Box:*** On August 4, 2011, as part of the Young Men's Initiative, Mayor Bloomberg issued Executive Order 151 (EO 151) stating with respect to any employment governed by Article 23-A of the NYS Correction Law, with few exceptions, City agencies are prohibited from asking questions regarding an applicant's prior criminal convictions on any preliminary employment applications, or asking any questions about an applicant's prior criminal convictions before or during the first interview. In keeping with the objectives of EO 151, Contractors selected as a result of this RFP will likewise generally be prohibited from asking questions regarding an applicant's prior criminal convictions on any preliminary employment applications, and from asking any questions about an applicant's prior criminal convictions before or during the first interview. In addition, Contractors will be required to comply with Article 23-A, including the requirement that determinations of hiring based on prior criminal convictions must be limited to a conviction that bears a direct relationship to the duties and responsibilities of the position sought, or where their hiring would pose an unreasonable risk to property or to the safety of individuals or the general public.

***Personnel Investigation/Arrest Notification:*** The contractor must undertake appropriate background checks of all staff assigned to the AIM Program, including volunteers and staff of sub-contractors. Such checks will include verification of prior employment and references through direct contact by the contractor with former employers. The contractor will be required to provide rosters of all staff in the AIM program to DOP upon request. The contractor will be asked to verify the actual existence of claimed staff through an inspection by senior agency staff. Upon receipt of award, the contractor shall comply with all federal, State, and City requirements with respect to investigation for criminal conviction history of program staff members (proposed or currently employed), including volunteers, as well as in keeping with Article 23-A compliance as outlined above. These regulations may include the requirement that all program staff (paid and volunteer) in programs serving youth under the age of 21 be fingerprinted. Contractors shall comply with applicable State and federal regulations, including 42 U.S.C §5119. Youth staff (paid and volunteer) who are under the age of 17 and who are still attending school are not required to be fingerprinted.

Such regulations, policies and procedures shall also determine whether individuals with criminal convictions may continue their employment with the AIM program. The contractor shall report any conviction or subsequent arrest of any staff member (paid or volunteer) of which it becomes aware to DOP.

## **SECTION III: SCOPE OF SERVICES**

### **A. Goals and Objectives**

The goal of AIM is to enhance community safety by increasing resiliency and reducing risk factors for adolescents on probation who face the highest probability of out-of-home-placement, through intensive mentoring and advocacy. Utilizing an intervention strategy that pairs youth with paid advocates, AIM seeks to provide participants with the structure and guidance needed for success by creating highly individualized plans with the youth and their families. These highly individualized service plans help participating youth transform attitudes and behaviors that have led to delinquent activity. It serves young people whose needs go far beyond the traditional mentoring approach of companionship, confidence building and minor academic, social or career guidance. The main vehicle for this intervention is the use of wraparound services that are grounded in the development of engaged and sustainable family support systems. The wraparound planning process is child and family-centered, builds on child and family strengths, is community-based (using a balance of formal and informal supports), is culturally relevant, flexible, and coordinated across agencies; it is outcome driven, and provides unconditional care.<sup>11</sup> The ultimate program goals are to improve education and criminal justice outcomes, through the development and/or strengthening of self-efficacy, character, connections and social contributions, as these will not only benefit the lives of the participating adolescents and their families, but will benefit the communities in which the young people live.<sup>12</sup>

### **B. Agency Assumptions Regarding Experience and Organizational Capability**

#### **1. Experience**

- The contractor and key staff, or at least one of the subcontractors, would have at least three years of successful experience in the last five years providing services to high risk youth.
- The contractor and/or subcontractor should have relevant experience providing similar services to high risk youth within the past five including operation of one or more of the following programs and/or services:
  - Court-involved youth program
  - A mentoring program
  - Community benefit project
  - Case management services
  - Youth development services for high risk youth

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<sup>11</sup> Winters, Nancy C, MD and Metz, Peter, MD, The Wraparound Approach in Systems of Care, Psychiatric Clinics of North America, Volume 32, Issue 1,131-151, March 2009

<sup>12</sup> Based on research of best practice programs designed to reduce recidivism, and the evidence to date demonstrating the effectiveness of this particular model, DOP anticipates achieving between a 7 and 10 percent reduction in recidivism for youth who complete the program in the targeted communities. DOP will determine this recidivism reduction by comparing the rates of re-arrest on felony charges (DOP will also track all re-arrests, but will focus on felony re-arrests) to those of youth in other neighborhoods after controlling for demographic, criminal justice, and social factors.

- Services to disconnected youth, including follow-up services
  - Services to high-need youth and families
  - Services to residents of the specific community proposed
  - Civic Engagement
  - Educational interventions for high risk/highly disengaged youth
  - Vocational/career guidance for high risk/highly disengaged youth
- The contractor would have a history of successful linkages with community-based organizations and agencies in the neighborhood that enriched services to youth and families and created effective referral networks
  - The contractor should demonstrate an understanding of, and experience with, the targeted neighborhood, either directly or through a partner. Proposals from organizations that do not currently have a presence in the targeted neighborhood would be strengthened by a linkage agreement to partner with a neighborhood-based organization for the delivery of these services.
  - Contractors or their subcontractors must engage a LMSW as the Program Director, with at least three years of relevant experience, to oversee Advocate/mentors and collaborate with appropriate DOP staff to help participants achieve targeted outcomes. The Program Director would have supervisory experience, would be knowledgeable in successful evidence based practices and would have experience administering similar programming for youth, as well as experience leading small group activities.
  - Advocate/mentors would have appropriate training, education and experience serving high risk youth, specifically the following:
    - An understanding/knowledge of the targeted neighborhood and its resources
    - Self – motivation, initiative, and sound judgment
    - Ability to work as part of a team
    - Ability to engage well with both youth and families
    - Ability to facilitate small group activities

## **2. Organizational Capability**

- The contractor’s Board of Directors would remain free of conflicts and exercise active oversight of organizational management, including regular reviews of executive compensation, audits, and financial controls, and program operations and outcomes.
- The contractor would engage in successful joint efforts with other organizations providing services to the target population.
- The contractor would have the capacity to integrate the proposed program into its overall operations.

- The contractor's internal monitoring system would be effectively used to identify program, personnel, and fiscal issues and provide corrective action procedures.
- The contractor would have a continuous quality improvement process that includes quality assurance measures for all aspects of the program.
- The contractor would be fiscally sound and capable of managing the proposed program
- The contractor would have an effective computerized system for data collection and management.
- The contractor would ensure that program staff has access to computers and the Internet.
- The contractor would ensure that program operations will begin by July 2012

### **C. Agency Assumptions Regarding Contractor Approach**

DOP/CEO's assumptions regarding the approach that will most likely achieve the objectives set out above are:

#### **1. Program Design**

##### **Key Elements**

In the AIM model, paid Advocate/mentors would be paired with no more than four youth and their families at any given time. Advocate/mentors will educate and empower participating adolescents and their families to foster, in the youth, alternative behaviors more conducive to personal and social success. In addition to one-on-one mentoring, Advocate/mentors will build and strengthen social bonds between the client and the community in which they live. Community benefit projects would be one method for achieving this, while making use of the community service hours generally imposed as part of the probation disposition. Advocate/mentors will play the role of connector, linking clients with community-based resources and facilitating healthier relationships with known institutions, including the client's school and family support system. This model works best when all involved are most committed to family involvement and support. Supervision of the youth must always remain the primary responsibility of the family, not the Advocate/mentor, so it is essential that the youth and the Advocate/mentor come to see themselves as part of a team effort, which includes the Probation Officer. Proposers would specify how they will engage families and Probation Officers as part of the team. The core components of AIM include:

- (a) Individualized Plans: AIM provides participants with the structure and guidance needed for success by creating individualized plans with youth and their families. Through this individualized, asset-based approach, commonly known as the wraparound approach, the specific needs of the youth and family will be taken into

consideration and the assets of the community, youth and family will be identified and built upon as part of the service delivery to that youth<sup>13</sup>. Individualization of the care plan also means that if a plan is not successful in achieving its goals, the assumption is that the plan was flawed and needs revision, not that the family is “noncompliant” for having failed the process.<sup>14</sup>

- (b) Advocate/mentor Relationship: Participants would be paired with an adult who will serve as a combination of both advocate and mentor. Advocate/mentors would provide a reliable and supportive relationship that the youth can have with a caring adult which is a catalyst for the development of resilience in high risk youth.<sup>15</sup> Advocate/mentors should be credible messengers.<sup>16</sup> They can serve as role model, community/school liaison etc. Advocate/mentors would provide community – based advocacy; coming from the same neighborhood and/or similar background as the youth, whenever possible. Also the resources of the community will be utilized to the benefit of the youth based upon their interests and service plan goals. Advocate/mentors must also be able to represent the concerns and needs of the youth and family and are expected to establish relationships with other system agencies with the help of DOP, as well as establish relationships with community-based agencies or individuals as necessary to provide the highest level of service to all participating youth.
- (c) Wraparound Process and Services: AIM employs the wraparound model for service planning, coordination and delivery, which is an individualized, family-driven and youth-guided team planning process. The wraparound planning process results in services that are “wrapped around” the child and family in their natural environments. In this process the family’s goals, preferences, needs, and strengths guide all efforts. The Advocate/mentor leads the wraparound planning processes (i.e. the initial planning process and all subsequent family team meetings and modifications to the service plan and follows up with the identified goals and service strategies to ensure that the youth’s and family’s needs are being addressed, which will be largely through local community resources. The Advocate/mentor would follow up with referrals to ensure participant’s social service and health needs are being met through partnering service providers. The layered supports developed in serving the youth and the family

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<sup>13</sup> It is anticipated that the plan would include structured activities comprising 40-70% of the client’s time, as appropriate.

<sup>14</sup> See Winters and Metz

<sup>15</sup> High risk youth who are involved with at least one caring adult are more likely to survive the negative effects of socioeconomic disadvantage, parental addiction, and exposure to violence and mental illness. Blechman, E.A. (1992). Mentors for high-risk minority youth: From effective communication to bicultural competence. *Journal of Clinical Child Psychology*, 21, 160-169.

<sup>16</sup> A credible messenger is defined as an individual who is well respected and trusted in the community and has the ability to effectively relay the components of the program to the participants; thereby transferring knowledge, enthusiasm, and most importantly support for the initiative that will leave participants and their families with a clear understanding of the program components and goals.

are intended to create a network that remains in place after participation in the AIM program has ended<sup>17</sup>.

(d) Family Participation and Engagement: The AIM model promotes commitment to family involvement and support as an integral part of the wraparound process. The family is involved in all aspects of AIM service planning, coordination and delivery, starting at program intake and continuing throughout all phases. Consistent with standard wraparound processes, the child and family drive care planning by determining an overall vision of how the family will know when things are better; establishing a sustainable family team (made up of the 4-6 members of the community or family comprising the family support system<sup>18</sup>, as well as any clinical professionals); developing goals and desired outcomes of services regarding specific needs; evaluating the effectiveness of services; and having a meaningful role in all decisions.<sup>19</sup> The goal is to provide families and youth with an experience of “voice and choice.”<sup>20</sup>

(e) Civic Engagement and Group Activities: Advocate/mentors would organize pro social, age appropriate group activities, such as healthy recreational and educational outings for participating youth, including community service and those that would foster civic engagement. Contractors would develop opportunities for clients to attend and participate in governmental and non-governmental civic activities, including community board meetings, neighborhood association meetings, local cultural events and voter education/registration projects. Participants should be afforded the opportunity to gain critical information regarding their legal rights, civic options and viable pathways to enhance their ability to become contributing members of their communities. Additionally, participants would be involved in community benefit projects facilitated by Advocate/mentors. These projects would help develop meaningful alternatives to negative social networks and acquire collaborative goal oriented skills. Projects would serve to address and improve community issues, and if the participant has received court-mandated community service, would serve as constructive use of required community service hours. These activities can expose participants to community resources in an effort to stimulate cultural development. They can also help to develop social skills by encouraging the youth to participate in a group setting where they learn to interact with each other and to adhere to the program structure.

Proposers must detail the evidence based theory of practice/model they will use to ensure these elements are provided. AIM will have an immediate intake process, meaning that there will be a response to the referral within 48 hours. Program flexibility will be needed as

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<sup>17</sup> Prior to completion, each client’s individualized plan would be modified to account for transitioning out of the program. Clients would remain under the supervision of their Probation Officer for the duration of their sentence.

<sup>18</sup> See footnote 4

<sup>19</sup> See Winters and Metz.

<sup>20</sup> See Winters and Metz.

contractors must subscribe to a “no reject, no eject”<sup>21</sup> philosophy as they work towards the engagement of the youth, family support system and community family.

**Population to be Served:**

Contractors would deliver AIM to adolescents, between the ages of 13 and 18, on juvenile probation or who are facing institutional placement as a result of a Family Court disposition (sentence) and who live in the targeted neighborhoods.

Program participants will be:

- Sentenced to probation with an explicit court order to participate in AIM as an alternative to placement intervention; or
- Facing a violation of probation’s most intensive service level due to chronic absenteeism and/or unresponsiveness to intervention or engagement strategies; or
- Due to a rearrest for a Class I or Class II felony offense (any service level) as per the structured decision making grid (SDM)

Providers would not be responsible for recruiting participants.

**Program Hours/Schedule:**

Contact hours between the Advocate/mentor and client could be as high as 30 hours per week and each Advocate/mentor would spend a minimum of 7 hours per week with each client<sup>22</sup>. Weekly contact hours would be dependent on the level of intensity required by the client’s individual needs in order for the intervention to be successful. It is anticipated that clients may require more contact hours at program start and that hours may decrease as the client becomes more stable, as well as towards the transition period out of the AIM program. It is anticipated that each client would remain in the program for 6-9 months<sup>23</sup>. The case load and schedule of each Advocate/mentor should be structured to accommodate the individualized attention required for each client. Advocate/mentors should be available to clients and their families and be able to provide services wherever and whenever their individual needs dictate. Proposers would specify how they will ensure availability 24 hours, 7 days a week. This plan must include the staffing patterns and procedures that would be needed to ensure coverage for the families 24 hours a day, 7 days a week.<sup>24</sup> For example the ratio could be 8 families per 2 advocates, each family having a primary advocate and a secondary advocate. This would allow for the necessary 24/7 coverage and still provide adequate time off for staff.

**Staffing**

- *Program Director:*

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<sup>21</sup> Probation will provide the CBO with the referred participants from their area. CBO’s will not be able to reject the referral, nor shall they eject any participants from the program, without conferencing the case with DOP.

<sup>22</sup> Contact hours would be inclusive of both individual and family contact, as well as any group activities.

<sup>23</sup> Program completion would be determined by the progress of the youth, in consultation with the family team and Probation Officer. Final discharge from the program would be based on a joint decision of the contractor and DOP.

<sup>24</sup> DOP will consider proposals with alternative structures for 24/7 crisis intervention, however if awarded, organizations with alternative plans will require DOP approval prior to implementation.



Providers would hire a LMSW as a full-time program director to supervise the Advocate/mentors and collaborate with DOP staff, as appropriate, to ensure achievement of targeted outcomes. Providers would design an appropriate supervisory structure to ensure adequate supervision of the Advocate/mentors. The Program Director would:

- Ensure continued professional development of the Advocate/mentors
- Monitor field work of the Advocate/mentors
- Prioritize the assessment of the safety of youth in each household and take all necessary and appropriate measures to ensure their safety- including but not limited to, all actions required of mandated reporters.
- Attend periodic meetings as requested by DOP/CEO to share best practices and address issues that may arise in the course of delivering the services in the AIM Program.
- Facilitate Advocate team meetings/case conferences

- *Advocate/Mentors:*

Providers would hire paid full-time and/or part-time Advocate/mentors, ensuring that each have a caseload of no more than four clients to allow for the high intensity necessary to reach young people who are severely disconnected. Outreach to qualified neighborhood residents would be part of the recruitment plan for hiring Advocate/mentors. The specific function and/or activities of the Advocate/mentors will be dictated by the individualized family team plans that will be developed through meetings facilitated by the Advocate/mentor as frequently as needed. In addition, Advocate/mentors would:

- Cultivate the family team and continuously call on the team to trouble-shoot and reinforce achievements. Examples of activities include helping the youth contribute to (or even develop for the first time) family rituals by learning to cook with the mentor and providing a family meal weekly; fostering an identified strength or helping the youth discover one and then making sure that there are avenues for the sustained pursuit of the strength; help plan and provide support for use of the community service hours generally imposed as part of the disposition of the case; spending time with the youth and/or family during the most difficult times of the day (i.e. when the harmful behaviors tend to happen, whether it be first thing in the morning to get the youth to go to school, or late at night when youth may participate in risky activities) to lend support and help the youth and/or family manage the situation and develop healthy coping mechanisms.
- Help to plan and facilitate group activities with other clients
- Utilize their understanding of the targeted neighborhood to facilitate the development of the trust that participating youth and their families will need to have to engage in the often difficult work of improving existing circumstances.
- Utilize knowledge of challenges faced by youth living in these neighborhoods and will represent the concerns and needs of the youth and family to the entities with which the youth need to interact. The client would benefit from the shared

knowledge of an adult figure that understands the negative pressures as well as the positive influences that the community has to offer

- Train youth in positive and successful behaviors, empower them as well as their family system with new skills allowing them to function productively and safely.
  - Foster creation of support networks within the community for youth and their family system.
  - Maintain constant communication with each client's Probation Officer.
  - Provide regular reports of meeting times and case notes to Program Director.
- *Staff to Participant Ratios*
    - Maximum Advocate/mentor to participant ratios would be 1:4 to enable staff to develop meaningful relationships and provide appropriate support throughout the program.
  - *Expectations of all Staff*
    - All program staff would be culturally competent. They would be familiar with the targeted neighborhood, demonstrate an appreciation for and sensitivity to diverse language, cultures, traditions, and family structures, and integrate this knowledge into service delivery. The contractor would ensure that services are provided in a manner that is sensitive to the backgrounds and cultures of program participants.
    - All staff would provide services with the goal of developing youth's positive attitudes towards self, family and community.
    - Program staff would meet weekly to review participant progress, exchange information, and share instructional and service strategies.
    - Program staff may be required to participate in periodic peer-based quality improvement exercises (such as workshops and site visits) and collect data to assess improvement.
  - Organizations would include outreach to recently laid-off DOP Probation Officer Trainees who meet the minimum qualifications of staff positions as part of their recruitment plan, if awarded.

**Training:**

- Advocate/mentors will need to have a variety of skills to do this work effectively. The proposer would indicate the training curriculum to be used. A robust training curriculum will be required to deliver these services including but not limited to:
  - Training in theory of practice used by program
  - Training in accurate record keeping
  - Cultural Competence
  - Techniques of Family Empowerment and Engagement

- DOP will provide the following training to contractors’ staff in conjunction with DOP staff:
  - Probation practices: a brief overview of the policies and procedures as it pertains to AIM program participants.
  - Logical Consequences: How to utilize logical consequences with participants. Logical consequences are not those that occur naturally due to behavior but are planned intentionally by staff. How to use this to teach participants to develop skills they will need later in life to be successful.
  - Unconditional Care: Relationship based intervention strategy grounded in a no fail policy. The main premise is that one would not discharge participants for the behaviors that brought them to the program in the first place.
  - Burnout: Due to the high intensity of involvement and amount of time spent by staff working with high risk/highly disengaged youth, this training will provide tools to assist in the prevention of staff feeling physically and emotionally exhausted, cynical and critical of self and others, and working less efficiently than usual.

**Partnerships, Collaborations, and Linkages:**

Contractors would establish and maintain effective on-going relationships with DOP staff, program participants, their families and communities. Probation Officers remain an integral part of the intervention team, and it is expected that the AIM Advocate/mentor would be in constant communication with the assigned Probation Officer.

Proposers would need to demonstrate effective linkages that would contribute to the creation of a program responsive to the youth and families within their local community. In particular, each contractor would establish linkages with local schools, healthcare providers, law enforcement and other community-based service providers to enrich program services and maintain a referral network for participants. All linkages should be documented in the proposal through signed Linkage Agreements (Attachment 4).

**2. Safety Plan**

Crisis and safety planning are important pieces of the program. A safety plan will need to be developed within the first two – three weeks of referral. The Program Director and Advocate/mentor must be prepared to deal with incidents when they occur. Every youth and family in the wraparound process needs a crisis/safety plan. Crisis is a part of life for all human beings and is frequently a way of life for participants in the AIM program. Youth and families involved in the wraparound process have complex needs and challenging behaviors and therefore have very high levels of risk of serious crisis. Therefore, needs and behaviors that may lead to crisis should be planned for proactively.

- Family safety issues will always be part of case conferencing with DOP and will be handled with the necessary level of intervention.

- The Advocate/mentor in conjunction with Probation Officer would develop relationships with the appropriate New York City Police Department (NYPD) staff at the local precinct.
- The contractor would comply with all applicable federal, New York State, and City rules and regulations relating to matters such as health, safety, and emergency procedures and reporting of accidents and/or incidents.
- The contractor would ensure that the Program Director prioritize the assessment of the safety of youth in each household and take all necessary and appropriate measures to ensure their safety- including but not limited to, all actions required of mandated reporters.

### **3. Facility**

- It is anticipated that most interaction with participants and their families will occur in the field, as the participants needs dictate. However, the contractor would maintain an office in the targeted neighborhood to accommodate administrative functions, staff, and participant interactions as needed.
- Any proposed facility would be accessible by public transportation and appropriate in size and design to accommodate the functions mentioned above.
- The contractor would ensure that the building and all facilities and equipment therein meet the local fire, health, and safety standards and comply with the American Disabilities Act (ADA) standards. If facilities do not meet ADA standards, the contractor must provide alternative measures, such as access to other suitable space to make activities accessible to persons with disabilities and is subject to DOP approval.

### **4. Target Outcomes, Data Collection and Reporting**

Contractors will be required to report regularly on program performance metrics and program expenses in a format determined by DOP/CEO. Programs also will need to provide researchers from DOP/CEO or its external evaluators with access to program staff and participants, and provide information on program activities and participant level data.

DOP/CEO or its external evaluator will periodically visit the provider to observe program activities and obtain detailed data on participant activities within the program. Other monitoring and evaluation activities may include surveys, focus groups and administrative record reviews. This is in addition to regular telephone contact to document the program's status and to follow up with participants after program completion. DOP/CEO or its external evaluators will also conduct staff and enrollee interviews as well as obtain and analyze baseline and program data for the research. In the event of an evaluation using an experimental design, contractors may be required to alter their recruitment practices to ensure

random assignment of potential participants to a group that is enrolled in the program intervention or a control group that is not. Periodically, DOP/CEO will share analyses of program implementation.

**Reporting:**

In addition to weekly baseline communication with the Probation Officer, contractors will submit quarterly reports to the Department of Probation on enrollment, contact hours with the Advocate/mentor, including the nature of the contacts, educational engagement (DOP will monitor actual school attendance), general progress in the development of youth development competencies correlated to delinquency behavior (such as conflict management and peer group development), community service/service learning, hours and pay for those who are working, and aggregate outcomes.

At a minimum, the contractor would be required to maintain and submit participant-level data (reflecting participant and household characteristics, services provided, and outcomes achieved). Such data would be submitted on a monthly basis or other frequency determined by DOP/CEO, in an electronic format that can be read by a commonly available commercial spreadsheet program, such as Microsoft Excel. DOP/CEO reserves the right to require the use of a unified electronic enrollment and attendance tracking system for this purpose.

**Data Collection Procedures:**

Reports would be submitted using prescribed forms at times designated by DOP/CEO. For each participant enrolled, the contractor would collect and maintain the following data:

- Hours Advocate/Mentor spends with each youth and family, including documentation of meetings and group activities
- Demographic data
- Impact data (outcomes, separation from program, performance targets)

**Quality Improvement Measures:**

Programs would utilize outcome achievement data to assess and analyze program quality and would apply measures to continually improve program effectiveness.

**Target Outcomes<sup>25</sup>:**

- 80% of the participants will not be arrested for a felony while in the AIM program;
- 60% of program completers will remain felony arrest-free for a period of 12 months after program completion.
- 85% of program completers will have an identifiable positive social support system outside of the family unit when they complete the program—e.g. school/education, employment, pro-social use of leisure time;
- 85% of program completers will be reconnected to their family support system or develop a viable one.

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<sup>25</sup> DOP reserves the right to modify target outcomes.

#### **D. Compliance with Local Law 34 of 2007**

Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the name of any "person" who has "business dealings with the City" as such terms are defined in the Local Law. In order for the City to obtain necessary information to establish the required database, **vendors responding to this solicitation are required to complete the attached Doing Business Data Form (Attachment 6) and return it with the proposal, and should do so in a separate envelope.** If the City determines that a vendor has failed to submit a Data Form or has submitted a Data Form that is not complete, the vendor will be notified by DOP/CEO and will be given four calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to DOP/CEO. Failure to do so will result in a determination that the proposal is nonresponsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the vendor has provided an e-mail address or fax number), or not later than five days from the date of mailing or upon delivery, if delivered.

## SECTION IV: FORMAT AND CONTENT OF THE PROPOSAL

**Instructions:** Proposers should provide all information required in the format below.

- The proposal should be typed on 8 1/2" x 11" paper.
- Lines should be double-spaced with 1" margins, using 12-point font size.
- Pages should be numbered and include a header or footer identifying the proposer.
- Proposals should not exceed 30 pages (excluding requested attachments).
- The proposal should include a **Table of Contents**, immediately following the Proposal Summary Form.
- The City of New York requests that all proposals be submitted on paper with no less than 30 percent post consumer material content, *i.e.*, the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency. (For any change to that standard please consult: <http://www.epa.gov/cpg/products/printing.html>.)
- Proposers should use the structure and order provided below as well as include the questions as the section headers in their responses. Requested attachments should be provided in the order presented in the Proposal Checklist.

### A. Proposal Format

#### 1. Proposal Summary Form

The Proposal Summary Form (Attachment 1) transmits the proposal package. It should be completed in full, signed, and dated by the Board Chair or Executive Director of the proposing organization. Completing this form fully and accurately assists DOP/CEO in the evaluation of the proposal.

#### 2. Table of Contents

#### 3. Program Proposal

The Program Proposal is a clear, concise narrative which addresses the following:

**a. Experience** (page limit: 6 pages, excluding requested attachments)

*Describe in detail the successful relevant experience of the proposer and its key staff:*

- Describe the successful relevant experience within the past five years of the proposer in providing the program services described in Section III: Scope of Services of the RFP. Prior to contract negotiation, DOP/CEO reserves the right to request documentation to verify stated experience and results.
- Specifically, identify the programs that demonstrate the successful and relevant experience of the proposing organization and/or sub-contractors providing similar services to high risk youth in the past five years, relating to the following types of programs and/or services:
  - Operation of a court-involved youth program

- Provision of mentoring services
  - Operation of a type of community benefit project proposed or service learning
  - Provision of case management services
  - Provision of youth development services for high risk youth
  - Provision of services to disconnected youth, including follow-up services
  - Provision of services to high-need youth and families
  - Provision of services to residents of the specific community proposed
  - Experience fostering civic engagement
  - Educational Interventions for high risk/highly disengaged youth
  - Vocational/career guidance for high risk/highly disengaged youth
- For each program cited above, provide a brief description of the services offered, dates of operation, and program goals and impact, if available.
  - Complete the Relevant Experience Form (Attachment 2), reproducing extra copies as needed. Using the most recent quantitative data, demonstrate that each program cited above was effective in each of the following areas:
    - Achievement of enrollment numbers that met or exceeded the funder/program expectations (target levels vs. actual enrollments)
    - Achievement of outcomes that met or exceeded funder/program expectations (projections vs. actual outcomes)
  - In addition, in narrative form, describe any other factors that demonstrate that each program cited above was effective such as:
    - Positive findings from an evaluation
    - Securing multi-year funding for relevant program(s) from diverse public and private sources
    - Successful joint efforts with other organizations and agencies to provide similar services
    - Successful experience working in a leadership role to establish and lead effective partnerships
  - Demonstrate the proposer’s history of linkages with community-based organizations and other community entities that enriched services provided to youth and families and created effective referral networks.
  - Describe the organization’s experience with and demonstrate an understanding of the targeted neighborhood.
  - Describe the successful relevant experience of the key staff in the last five years providing services to at-risk youth and demonstrate that the Program Director and Advocate/mentors will be appropriately qualified, meeting the requirements set forth in Section III- Scope of Services.
  - Attach resumes for key staff already identified; for other key staff positions, attach job descriptions showing the required qualifications.



**b. Organizational Capability** (page limit: 6 pages, excluding requested attachments)

*Demonstrate the proposer's organizational (programmatic, managerial, and financial) capability to perform the services described in the Scope of Services. Specifically include the following:*

- Describe how the proposing organization's Board of Directors will be involved in the proposed program. Complete the Corporate Governance Certification (Attachment 3).
- Describe the steps that will be taken to ensure that program operations will begin by July 2012. Include a timeline outlining the activities for program startup.
- Demonstrate successful joint efforts with other organizations and agencies providing services to court involved young adults.
- Demonstrate the proposing organization's capacity to incorporate the proposed program into overall operations. Attach an organizational chart showing the proposer's organization and how the proposed program fits. Describe how the proposed program and program staff will relate to the overall organization.
- Describe the proposing organization's internal monitoring system and demonstrate how it is effectively used to identify personnel and fiscal issues. Describe the organization's corrective action procedures.
- Describe the evaluation and quality improvement protocol that the proposer would implement to ensure continuous improvement of program delivery and participant outcome achievement.
- Describe how the organization manages its data collection and reporting requirements for multiple funding sources.
- Demonstrate that program staff members have access to computers and the Internet.
- Attach a copy of the most recent financial audit of the organization conducted by a certified public accountant, indicating the period covered, OR, if no audit has been performed, the most recent financial statement, indicating the period covered and an explanation of why no audited financial statement is available. Financial audits covering time completely prior to fiscal year 2011 will not be accepted as fulfilling this requirement.
- List at least three relevant funding references, including the name of the funding organization and the name, title, and telephone number of a contact person at the funding organization. If there are no funding sources other than DOP or CEO, other relevant references may be listed. For each person, include: his or her name and organizational

affiliation, contact information (mailing address, email address and telephone), and the basis for the person's knowledge of your organization's work.

**c. Proposed Program Approach** (page limit: 15 pages, excluding requested attachments)

*Describe in detail how the proposer will provide the services described in the Scope of Services and demonstrate how the proposed approach will fulfill DOP/CEO goals and objectives. Specifically address the following:*

**1. Program Design**

**Key Elements**

Describe and demonstrate the theory of practice that will be used, as well as the effectiveness of the proposer's approach to each of the key elements of the proposed program:

- Individualized Plans
  - Describe the intake and assessment process.
  - Describe the process for developing these plans and how the specific needs, as well as the assets of the community, youth and family will be identified and built upon as part of service delivery.
- Advocate/mentor Relationship
  - Describe the process for matching Advocate/mentors with participating youth/families.
  - Demonstrate how Advocate/mentors will be credible messengers.
- Wraparound Services
  - Describe the provision of wraparound services and how layered supports will be developed for the youth and family.
  - Describe the dynamic system of support that would be developed to meet participants' needs on an ongoing basis. Specifically including the following: assessment, goal setting, basic case management services and follow-up services.
  - Describe the procedure for following up on referrals to ensure participants' social service or health needs are being addressed.
  - Describe how a sustainable network of support will be created.
- Family Participation
  - Describe the inclusion of family in all aspects of the proposed program.
- Civic Engagement and Group Based Activities
  - Describe the types of opportunities that would be made available to participants to attend and participate in governmental and non-governmental civic activities, as well as how it will be ensured that groups and activities are age appropriate. Also, describe what opportunities will be made available for community benefit projects.
- Describe how the proposer would implement a no reject, no eject policy.

**Population to be Served**

- Identify the target neighborhood in which services will be provided.

- Identify and demonstrate the strengths and needs of the target population to be served.

### **Program Hours/Schedule**

- Describe how the proposed program hours would accommodate the needs of individual youth and their families.
- Describe the plan for structuring 24/7 crisis intervention.

### **Staffing**

- Describe the specific staff, salaried and non-salaried, that will be utilized to provide the services. Demonstrate that such staffing covers the key functions outlined in Section III: Scope of Services and is sufficient to help participants achieve program milestones and outcomes.
- Describe the role of the Program Director, specifically addressing how he/she would:
  - Ensure continued professional development of the advocate/mentors
  - Monitor the field work of advocate/mentors
  - Prioritize appropriate measures the assessment of the safety of youth in each household and take all necessary and to ensure their safety- including but not limited to, all actions required for mandated reporters
- Describe the role of the Advocate/mentor as it relates to the criteria set forth in Section III- Scope of Services. Specifically address:
  - How the Advocate/mentor will educate and empower participants to foster alternative behaviors more conducive to success, as well as cultivating the family team, providing a reliable and supportive relationship with the youth, connecting participants and their families with community based resources, and facilitating healthier relationships with known institutions (i.e. the client's school)
  - How group activities will be planned with other clients
  - How an understanding of the targeted neighborhood and challenged faced by youth living in these neighborhoods would be utilized in service delivery
- Describe the plan for recruiting, hiring, and training staff, including outreach to qualified neighborhood residents.
- Demonstrate that all program staff would be culturally competent, familiar with the targeted neighborhood and have an appreciation for and sensitivity to diverse language, cultures, traditions, and family structures. Describe how this knowledge will be integrated into service delivery.
- Describe how program staff would review participant progress, exchange information and share instructional/service strategies.

### **Training**

- Describe the training curriculum to be used, specifically how it would address the following:
  - Theories of practice used by the program
  - Accurate record keeping
  - Cultural competence
  - Techniques of family empowerment and engagement

### **Partnerships, Collaborations and Linkages**

- Describe the proposed plan for maintaining adequate communication with the assigned Probation Officer, as well as how effective on-going relationships would be maintained with DOP staff, juveniles participating in the program, their families, and communities.
- Describe all proposed linkages to organizations that are relevant to the proposed program and whose contribution to the proposed program design benefits all or most participants.
- Demonstrate how the proposed linkages will be effective in helping participants achieve program milestones and outcomes.
- Complete and attach a Linkage Agreement Form (Attachment 4) for each linkage that has been established at the time of proposal submission.

### **2. Safety Plan**

- Describe the proposed safety plan and how it would address the following:
  - Family safety issues will always be part of case conferencing with DOP and will be handled with the necessary level of intervention
  - Relationships with appropriate NYPD staff at local precincts
  - Compliance with applicable federal, New York State and City rules and regulations related to matters such as health, safety, and emergency procedures and reporting of incidents/accidents
  - Oversight of the Program Director's assessments of youth's safety in each household and ensuring that all necessary and appropriate measures are taken to ensure their safety- including but not limited to, all actions required of mandated reporters

### **3. Facility**

- Identify and describe the proposed program facility<sup>26</sup> and/or where services will be provided. Demonstrate that it will be located in the targeted neighborhood, accessible by public transportation, as well as appropriate in size and design to accommodate all program activities.
- Demonstrate that the building and space and equipment therein meet the local fire, health, and safety standards. Demonstrate the facility will meet ADA standards or that alternative measures will make program activities accessible to persons with disabilities.

### **3. Outcomes, Data Collection and Reporting**

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<sup>26</sup> At the time of contract award, selected proposers would be required to provide proof of site control, for example through a lease or certificate of occupancy

## Reporting

- Describe record keeping, data collection, and procedures for documenting and reporting outcomes.
- Summarize previous experience collecting data and meeting reporting requirements.
- Indicate what quality control measures will be in place to assure timely, accurate and reliable data.
- Describe how outcome achievement data will be used to improve program effectiveness.

### d. Price Proposal and Budget

The Price Proposal is the funding request for providing the services described in Section III: Scope of Services. The budget will be reviewed and scored as it relates to the proposed program approach. It includes the following:

#### 1. Proposal Budget Summary Form

- Complete Attachment 5, Proposal Budget Summary Form for a 12-month contract period

#### 2. Budget Justification (page limit: 3 pages)

- Justify how the requested funds would be used to deliver program services and achieve outcomes. Proposers should ensure that the budget and budget justification are consistent with the proposed program, specifically justify the expenses under each major budget category by addressing the points below:
  - Personnel Services:
    - List each position, indicating whether it is full-time or part-time, and salary as included in the funding request. Explain how the costs for each position were determined (such as percentage of full-time salary). Indicate which resume or job description is intended to fill that position.
  - Non-Staff services (as applicable):
    - List each consultant and associated cost included in the funding request, and explain how the cost of assigned work for the program as described in the proposal narrative was calculated.
    - For each type of non-program service purchased from a vendor, such as accounting or cleaning, describe the nature of that service, why it is needed, and how the costs related to purchasing that service were determined.
  - Other than Personnel Services (as applicable)
    - For consumable supplies, describe the type and quantity of supplies to be purchased and explain how the costs of these items were determined.
    - Explain why each piece of equipment and equipment related expenses are necessary for the proposed program.
    - Describe the space costs, including those involving a rental expense; their importance in the proposed program; and how costs were determined.
    - For travel expenses, describe the purpose of travel and justify the cost.
    - For utilities, telephones, and other operational expenses, list each item and how the cost for each item was determined.

### **e. Doing Business Data Form**

The proposer should complete the Doing Business Data Form (Attachment 6) and return it with the proposal. The submission of a Doing Business Data Form that is not accurate and complete may result in appropriate sanctions.

### **f. Acknowledgment of Addenda**

The Acknowledgment of Addenda form (Attachment 7) serves at the proposer's acknowledgment of the receipt of addenda to this RFP which may have been issued by DOP/CEO prior to the proposal due date and time. The proposer should complete as instructed on the form.

## **B. Proposal Package Checklist**

The Proposal Package should contain the following materials. Proposers should utilize this section as a "checklist" to assure completeness prior to submitting their proposals to DOP/CEO.

1. The Proposal package should include **one original set and four duplicate sets** of the documents listed below in the following order:

- Proposal Summary Form (Attachment 1)
- Program Proposal
- Table of Contents
- Narrative
- Resumes or Descriptions of Qualifications for Key Staff Positions
- Organizational Chart
- Relevant Experience Form (Attachment 2)
- Corporate Governance Certification (Attachment 3)
- Audit Report or Certified Financial Statement or a statement as to why no report or statement is available
- References for the Proposer
- Linkage Agreement Form(s) (Attachment 4)
- Price Proposal
- Proposal Budget Summary Form (Attachment 5)
- Budget Justification
- Acknowledgment of Addenda Form (Attachment 7)

2. In a sealed inner envelope, **one** original of the Doing Business Data Form (Attachment 6) should be included in the proposal package.

For each proposal submitted, enclose the documents listed above in a sealed envelope and hand deliver to Department of Probation, attention: **Vincent Perneti, Agency Chief Contracting Officer.**

Label the envelope with the following:

- The title and PIN of this RFP
- The service option
- The proposer's name and address
- The name, title, address, and phone number of the authorized agency contact person

## **SECTION V: PROPOSAL EVALUATION AND CONTRACT AWARD PROCEDURES**

### **A. Evaluation Procedures**

All proposals accepted by DOP/CEO will be reviewed to determine whether they are responsive or nonresponsive to the requirements of this RFP. Proposals which DOP/CEO determines to be nonresponsive will be rejected. DOP/CEO Evaluation Committees will evaluate and rate all remaining proposals based on the Evaluation Criteria prescribed below. DOP/CEO reserves the right to conduct site visits, to conduct interviews, or to request that proposers make presentations, as deemed applicable and appropriate. Although DOP/CEO may conduct discussions with proposers submitting acceptable proposals, it reserves the right to award contracts on the basis of initial proposals received, without discussions; therefore, the proposer's initial proposal should contain its best programmatic terms.

### **B. Evaluation Criteria**

- Demonstrated quantity and quality of successful relevant experience 30 percent
- Demonstrated level of organizational capability 20 percent
- Quality of proposed program approach 50 percent

### **C. Basis for Contract Award**

Contracts will be awarded to the responsible proposers whose proposals are determined to be the most advantageous to the City, taking into consideration the factors or criteria which are set forth in this RFP. Within each competition proposals will be ranked in descending order of their overall average technical scores. Awards will be made to the highest rated vendors whose proposals are technically viable and whose prices do not exceed the conditions set forth in the RFP. However:

- DOP/CEO reserves the right to make awards to ensure 1) appropriate distribution of necessary services and programs across targeted geographic areas within the City; and 2) program diversity (that is, programs that vary by factors such as instructional methodologies, target population, target sub-groups, and types of partnerships and collaborations to provide support and follow-up services).
- DOP/CEO reserves the right to award less than the full amount of funding requested and to modify the allocation of funds among competitions in the best interests of the City.
- In the case that a proposer is eligible for more than one contract award from this RFP, DOP/CEO reserves the right to determine, based on the proposer's demonstrated organizational capability and the best interests of the City, respectively, how many and for which program(s) the proposer will be awarded contracts and at what level of services and dollar value.
- Demonstration that the proposer has, or will have by the conclusion of negotiations, site control of an appropriate program facility.
- Timely completion of contract negotiations between DOP/CEO and the selected proposer.



## **SECTION VI - GENERAL INFORMATION TO PROPOSERS**

**A. Complaints.** The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, Room 835, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

**B. Applicable Laws.** This Request for Proposals and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, New York City Charter and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by contacting the PPB at (212) 788-7820.

**C. General Contract Provisions.** Contracts shall be subject to New York City's general contract provisions, in substantially the form that they appear in "Appendix A—General Provisions Governing Contracts for Consultants, Professional and Technical Services" or, if the Agency utilizes other than the formal Appendix A, in substantially the form that they appear in the Agency's general contract provisions. A copy of the applicable document is available through the Authorized Agency Contact Person.

**D. Contract Award.** Contract award is subject to each of the following applicable conditions and any others that may apply: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the requisite New York City Department of Business Services/Division of Labor Services Employment Report and certification by that office; submission by the proposer of the requisite VENDEX Questionnaires/Affidavits of No Change and review of the information contained therein by the New York City Department of Investigation; all other required oversight approvals; applicable provisions of federal, state and local laws and executive orders requiring affirmative action and equal employment opportunity; and Section 6-108.1 of the New York City Administrative Code relating to the Local Based Enterprises program and its implementation rules.

**E. Proposer Appeal Rights.** Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal Agency non-responsiveness determinations and Agency non-responsibility determinations and to protest an Agency's determination regarding the solicitation or award of a contract.

**F. Multi-Year Contracts.** Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the Agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The Agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

**G. Prompt Payment Policy.** Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

**H. Prices Irrevocable.** Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the Agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the Agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

**I. Confidential, Proprietary Information or Trade Secrets.** Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal. All information not so identified may be disclosed by the City.

**J. RFP Postponement/Cancellation.** The Agency reserves the right to postpone or cancel this RFP, in whole or in part, and to reject all proposals.

**K. Proposer Costs.** Proposers will not be reimbursed for any costs incurred to prepare proposals.

**L. Vendex Fees.** Pursuant to PPB Rule 2-08(f)(2), the contractor will be charged a fee for the administration of the Vendex system, including the Vendor Name Check Process, if a Vendor Name Check review is required to be conducted by the Department of Investigation. The contractor shall also be required to pay the applicable fees for any of its subcontractors for which Vendor Name Check reviews are required. The fee(s) will be deducted from payments made to the contractor under the contract. For contracts with an estimated value of less than or equal to \$1,000,000, the fee will be \$175. For contracts with an estimated value of greater than \$1,000,000, the fee will be \$350. The estimated value for each contract resulting from this RFP is estimated to be (less than or equal to \$1million) (above \$1million).

**M. Charter Section 312(a) Certification.**

The Agency has determined that the contract(s) to be awarded through this Request for Proposals will not directly result in the displacement of any New York City employee.

Agency Chief Contracting Officer

3/23/2012

Date

**Message from the New York City Vendor Enrollment Center  
Get on mailing lists for New York City contract opportunities!**

**Submit an NYC-FMS Vendor Application – Call (212) 857-1680**

# ATTACHMENT 1: Proposal Summary Form

**RFP TITLE: ADVOCATE INTERVENE MENTOR PROGRAM RFP      PIN: 78112P0001**

Proposing Organization: \_\_\_\_\_ EIN: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Contact Name: \_\_\_\_\_ Title: \_\_\_\_\_

Contact E-mail: \_\_\_\_\_ Telephone: \_\_\_\_\_

<b>Service Option:</b> <small>(Select ONE only)</small>	<input type="checkbox"/> <b>Option 1: Brownsville/ East New York</b>	<input type="checkbox"/> <b>Option 2: South Bronx</b>	<input type="checkbox"/> <b>Option 3: Jamaica</b>
<b>TOTAL Funding Request</b>			
<b><u>TOTAL Funding Request:</u></b>	<b><u>Number of Participants</u></b>	<b><u>Cost Per Participant</u></b>	<b><u>Annual Funding Request</u></b>

<b>Program Site Information</b>		
Please complete the following information for each site location, Indicate the community district that each site is located in. (Attach additional pages if necessary)		
Site Name:	Community District:	
Address:		
Site Name:	Community District:	
Address:		

Is the proposal printed on both sides, on recycled paper containing the minimum percentage of recovered fiber content as requested by the City in the instructions to this solicitation?       **Yes**       **No**

Has the proposer submitted more than one proposal in response to this RFP?       **Yes**       **No**  
If yes, how many? \_\_\_\_\_

Authorized Representative: \_\_\_\_\_  
Print Name
Signature

Title: \_\_\_\_\_ E-mail: \_\_\_\_\_

## **ATTACHMENT 2: Relevant Experience Form**

**RFP TITLE: ADOVCATE INTERVENE MENTOR PROGRAM RFP      PIN: 78112P0001**

**Instructions:** Complete for one program only; duplicate form as needed to report on other programs.

Indicate funding source for this program \_\_\_\_\_

Program Name: \_\_\_\_\_

Program Time Period (Describe only one time period for this program.)	Target Enrollment	Actual Enrollment
Outcome 1:	Projected Achievement	Actual Achievement
Outcome 2:	Projected Achievement	Actual Achievement
Outcome 3:	Projected Achievement	Actual Achievement

## **ATTACHMENT 3: Corporate Governance Certification**

**RFP TITLE: ADOVCATE INTERVENE MENTOR PROGRAM RFP      PIN: 78112P0001**

To enter into a contract with DOP/CEO, each organization must certify that its organizational capability is sufficient to support the services it has contracted to provide. To certify, complete the form below, and include an attached list of the members of the Board of Directors, with the name, title, address, telephone number, and e-mail address of each member.

---

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I, \_\_\_\_\_, am the Chairperson of the Board of \_\_\_\_\_ (“Proposer”), an organization that has proposed to provide services under the Advocate Intervene Mentor (AIM) Request for Proposals (RFP). I hereby certify that the Proposer:

1. Is governed by a Board of Directors, whose names and addresses are fully and accurately set forth on the attached list.
2. Maintains its corporate books and records, including minutes of each meeting, at the Proposer address stated on the Proposal Summary Form (Attachment 1 of this RFP).
3. Has held in the past 12 months \_\_\_\_\_ meetings of the Board of Directors at which a quorum was present.
4. Reviews, at least annually, at a meeting of the Board of Directors and has reviewed in the past 12 months each of the following topics:
  - a. Executive compensation
  - b. Internal controls, including financial controls
  - c. Audits
  - d. Program operations and outcomes.

**Name of Organization (Print)**

\_\_\_\_\_  
**Name of Board Chairperson (Print)**

\_\_\_\_\_  
**Signature of Board Chairperson**

\_\_\_\_\_  
Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

## **ATTACHMENT 4: Linkage Agreement Form**

**RFP TITLE: ADOVCATE INTERVENE MENTOR PROGRAM RFP      PIN: 78112P0001**

Proposer:

**INSTRUCTIONS:** This agreement is demonstration of a commitment to integrate service delivery through working relationships with other organizations. It is not a consultant agreement. Provide one Linkage Agreement for each organization with which you will be working. Duplicate this form as needed.

Pursuant to the proposal submitted by \_\_\_\_\_  
(Proposing Organization)

In response to the Advocate Intervene Mentor Program Request for Proposals from the Department of Probation and the Center for Economic Opportunity, the proposer, if funded, will establish programmatic linkage with \_\_\_\_\_  
(Linked Organization)  
in the form and manner described below.

Describe the proposed programmatic linkage, including how referrals and follow-up services for individuals will be maintained.

**Proposing Organization:**

**Linked Organization:**

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Work Address

\_\_\_\_\_  
Work Telephone Number

\_\_\_\_\_  
Date

## ATTACHMENT 5: Proposal Budget Summary Form

RFP TITLE: ADOVCATE INTERVENE MENTOR PROGRAM RFP

PIN: 78112P0001

<b>Organization:</b>		<b>EIN:</b>	
----------------------	--	-------------	--

Category	DOP/CEO Funding Request:	
<b>Personnel Services</b>		
<b>Salaries and Wages</b>	\$	
<b>Full Time:</b>	\$	
<b>Part Time:</b>	\$	
<b>Fringe Benefits</b>	\$	
<b>Total Personnel Services:</b>	\$	
<b>Non-Staff Services</b>		
<b>Consultants</b>	\$	
<b>Subcontractors</b>	\$	
<b>Stipends/Incentives</b>	\$	
<b>Vendors</b>	\$	
<b>Total Non-Staff Services:</b>	\$	
<b>Other Than Personnel Services</b>		
<b>Consumable Supplies</b>	\$	
<b>Equipment Purchases</b>	\$	
<b>Equipment Other</b>	\$	
<b>Space Costs</b>	\$	
<b>Travel</b>	\$	
<b>Utilities &amp; Telephone</b>	\$	
<b>Other Operational Costs</b>	\$	
<b>Other Costs:</b>	\$	
<b>Indirect Costs:</b>	\$	
<b>Total Other Than Personnel Services:</b>	\$	
<b>Total DOP/CEO Funding Request:</b>	\$	

## Proposal Budget Summary Category Definitions

### Personnel Services

#### Salaries and Wages

- The Salaries are divided into two categories:
  - Full Time employees: Persons who work 35 hours or more per week
  - Part Time employees: Persons who work fewer than 35 hours per week

#### Fringe Benefits

- Fringe Benefits must include FICA. Charges to Fringe Benefits may also include unemployment insurance, worker's compensation, disability, pension, life insurance and medical coverage as per your policies. Enter the Fringe Benefit rate as indicated on the budget summary page. Fringe rates must not be less than 7.65% or exceed 30% of total salaries.

#### Insurance

- All funded programs must have general liability insurance of \$1 million, with a certificate naming DOP/CEO and the City of New York as additional insureds.

### Non-Staff Services

#### Consultants

- Typically, independent individuals with professional or technical skills retained to perform specific tasks or complete projects related to the program that cannot be accomplished by regular staff. A consultant cannot be a salaried employee.

#### Subcontractors

- Typically, independent nonprofit entities retained to perform program services. A subcontract will be part of the DOP/CEO contract and will be registered with the NYC Comptroller. Each Subcontractor's EIN must be listed on the subcontract and on its budget.

#### Stipends

- An incentive allowance ONLY for the benefit of a participant or client.

#### Vendors

- An independent business entity retained to provide non-program services. Examples: Cleaning services, security, and accounting services.

### Other than Personnel Services

#### Consumable Supplies

- Supplies that are not lasting or permanent in nature, such as office, program, and/or maintenance supplies.

#### Equipment Purchases

- Purchases of equipment that is durable or permanent, such as furniture, printers, calculators, telephones, and computers. All equipment and furniture purchased with DOP/CEO funds at a cost of \$500 or more become the property of The City of New York/. If the program is terminated, all such items must be returned to DOP/CEO.

#### Equipment Other

- The rental, lease, repair, and maintenance of office/program equipment utilized in the program's operation. This category also includes Computer Software.

### **Space Costs**

- Public School: Opening fees and room rentals paid to the Department of Education (DOE) or
- Space Cost/Other: All other rent paid by a program for all sites utilized by that program. It also includes all related charges associated with the use of the site such as minor repairs and maintenance costs. No renovation or construction projects can be budgeted or paid for with DOP/CEO program funds.
- After being selected, all contractors charging for space cost are required to submit a Space Cost/Cost Allocation Plan. In addition, you will be required to submit a copy of your lease, DOE permit, or month-to-month rental agreement at the time of the budget submission.

### **Travel**

- Local travel (i.e., bus and subway fares) by the employees of the program to and from sites that are being used for day-to-day program functions. Expenditures for employees who use their personal automobile for business are reimbursed a maximum of \$0.28 per mile plus tolls. Charge to this account all participant- related travel, such as bus trips and local travel.

### **Utilities & Telephone**

- Utilities & Telephone costs associated with the proposed program.

### **Other Operational Costs**

- This category is separated into two subcategories:
  - **Other Costs:** Items such as audit costs, postage, printing and publications, subscriptions, Internet fees, etc. Also includes any other operating costs that cannot be classified in any other category. In addition, includes costs associated with and for the benefit of the participants such as food, refreshments, entrance fees, awards, T-shirts, uniforms, and sporting equipment. This category also includes general liability insurance for contractors not in the Central Insurance Program.
  - **Indirect Costs:** The purpose of Indirect Costs is to capture overhead costs incurred by a contractor operating several programs. The maximum allowable rate is 10 percent of the total budget.





# Doing Business Data Form

To be completed by the City Agency prior to distribution			
Agency: _____		Transaction ID: _____	
<b>Check One:</b>	<b>Transaction Type (check one):</b>		
<input type="checkbox"/> Proposal	<input type="checkbox"/> Concession	<input type="checkbox"/> Contract	<input type="checkbox"/> Economic Development Agreement
<input type="checkbox"/> Award	<input type="checkbox"/> Franchise	<input type="checkbox"/> Grant	<input type="checkbox"/> Pension Investment Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

**Please return the completed Data Form to the City Agency that supplied it.** Please contact the Doing Business Accountability Project at [DoingBusiness@cityhall.nyc.gov](mailto:DoingBusiness@cityhall.nyc.gov) or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

## Section 1: Entity Information

Entity Name: \_\_\_\_\_

Entity EIN/TIN: \_\_\_\_\_

### Entity Filing Status (select one):

- Entity has never completed a Doing Business Data Form. *Fill out the entire form.*
- Change from previous Data Form dated \_\_\_\_\_. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.*
- No Change from previous Data Form dated \_\_\_\_\_. *Skip to the bottom of the last page.*

Entity is a Non-Profit:       Yes       No

Entity Type:     Corporation (any type)     Joint Venture     LLC     Partnership (any type)  
 Sole Proprietor     Other (specify): \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone : \_\_\_\_\_ Fax : \_\_\_\_\_

E-mail: \_\_\_\_\_

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

**Section 2: Principal Officers**

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

**Chief Executive Officer (CEO) or equivalent officer**

This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

This person replaced former CEO: \_\_\_\_\_ on date: \_\_\_\_\_

**Chief Financial Officer (CFO) or equivalent officer**

This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

This person replaced former CFO: \_\_\_\_\_ on date: \_\_\_\_\_

**Chief Operating Officer (COO) or equivalent officer**

This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

This person replaced former COO: \_\_\_\_\_ on date: \_\_\_\_\_

**Section 3: Principal Owners**

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do **not** need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

**There are no owners listed because (select one):**

- The entity is not-for-profit
- There are no individual owners
- No individual owner holds 10% or more shares in the entity
- Other (explain): \_\_\_\_\_

**Principal Owners (who own or control 10% or more of the entity):**

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

**Remove the following previously-reported Principal Owners:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Section 4: Senior Managers**

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

**Senior Managers:**

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

**Remove the following previously-reported Senior Managers:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Certification**

I certify that the information submitted on these four pages and \_\_\_\_\_ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Entity Name: \_\_\_\_\_

Title: \_\_\_\_\_ Work Phone #: \_\_\_\_\_

**Return the completed Data Form to the agency that supplied it.**

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

## **ATTACHMENT 7: Acknowledgement of Addenda**

**RFP TITLE: ADOVCATE INTERVENE MENTOR PROGRAM RFP      PIN: 78112P0001**

Proposer: \_\_\_\_\_

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**COMPLETE PART I OR PART II, WHICHEVER IS APPLICABLE.**

PART I: List below the dates of issuance for **each addendum received** in connection with this RFP:

ADDENDUM #1    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #2    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #3    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #4    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #5    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #6    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #7    DATED: \_\_\_\_\_, 20\_\_

ADDENDUM #8    DATED: \_\_\_\_\_, 20\_\_

PART II: Check, if applicable.

\_\_\_\_\_ NO ADDENDUM WAS RECEIVED IN CONNECTION WITH THIS RFP.

DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

AUTHORIZED REPRESENTATIVE (NAME): \_\_\_\_\_

AUTHORIZED REPRESENTATIVE (SIGNATURE) : \_\_\_\_\_